



Practitioner's Docket No. 814-067.030

PATENT

Preliminary Classification:

Proposed Class:

Subclass:

NOTE:

"All applicants are requested to include a preliminary classification on newly filed patent applications. The preliminary classification, preferably class and subclass designations, should be identified in the upper right-hand corner of the letter of transmittal accompanying the application papers, for example Proposed Class 2, subclass 129. "M.P.E.P. § 601, 7th ed.

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**Box PATENT APPLICATION Assistant Commissioner for Patents** Washington, D.C. 20231

#### **NEW APPLICATION TRANSMITTAL**

Transmitted herewith for filing is the patent application of

Inventor(s): DOUGLAS A. GEORGE and GUSTAF T. APPELBERG

WARNING: 37 C.F.R.§ 1.41(a)(1) points out:

"(a) A patent is applied for in the name or names of the actual inventor or inventors.

"(1) The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1.63, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration as prescribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under this paragraph accompanied by the fee set forth in § 1.17(I) is filed supplying or changing the name or names of the inventor or inventors."

For (title): METHOD AND APPARATUS FOR MAKING LARGE-SCALE LAMINATED

FOIL-BACK ELECTROLUMINESCENT LAMP MATERIAL. AS WELL AS THE ELECTROLUMINESCENT LAMPS AND STRIP LAMPS PRODUCED

THEREFROM

#### CERTIFICATION UNDER 37 C.F.R. § 1.10\*

(Express Mail label number is mandatory) (Express Mail certification is optional.)

EL628641408US "Express Mail Post Office to Addressee," mailing Label Number \_ \_, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Judith Schick

(type or print name of person máiling papa)

Signature of person mailing paper

**WARNING:** 

Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. § 1.8 cannot

be used to obtain a date of mailing or transmission for this correspondence.

**WARNING:** 

Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing

label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).

Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at

56,442.

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### Attorney Docket No. 814-067.030

1.	Тур	pe of Application					
	Thi	This new application is for a(n)					
			(check one applicable item below)				
	X	Or	iginal (nonprovisional)				
		J Design					
			Plant				
WA.	RNIN	G:	"Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S.C. § 37(c)(4), unless the International Application is being filed as a divisional, continuation or continuation-in-part application.				
WA	RNIN	G:	Do not use this transmittal for the filing of a provisional application.				
NOTE:		AP.	one of the following 3 items apply, then complete and attach ADDED PAGES FOR NEW PLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED and NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION PLICATION.				
			Divisional Continuation Continuation-in-part (C-I-P)				

## 2. Benefit of Prior U.S. Application(s) (35 U.S.C. §§ 119(e), 120, or 121)

NOTE: A nonprovisional application may claim an invention disclosed in one or more prior filed copending nonprovisional applications or copending international applications designating the United States of America. In order for a nonprovisional application to claim the benefit of a prior filed copending nonprovisional application or copending international application designating the United States of America, each prior application must name as an inventor at least one inventor named in the later filed nonprovisional application and disclose the named inventor's invention claimed in at least one claim of the later filed nonprovisional application in the manner provided by the first paragraph of 35 U.S.C. § 112. Each prior application must also be:

- (i) An international application entitled to a filing date in accordance with PCT Article 11 and designated the United States of America; or
- (ii) Complete as set forth in § 1.51(b); or
- (iii) Entitled to a filing date as set forth in  $\S$  1.53(b) or  $\S$  1.53(d) and include the basic filing fee set forth in  $\S$  1.16; or
- (iv) Entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(l) within the time period set forth in § 1.53(f).

37 C.F.R. § 1.78(a)(1).

NOTE: If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., or benefit of a prior provisional application is claimed, then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

WARNING: If an application claims the benefit of the filing date of an earlier filed application under 35 U.S.C. §§ 120, 121 or 365(c), the 20-year term of that application will be based upon the filing date of the earliest U.S. application that the application makes reference to under 35 U.S.C. §§ 120,121 or 365(c). (35 U.S.C. § 154(a)(2) does not take into account, for the determination of the patent term, any application on which priority is claimed under 35 U.S.C. §§ 199, 365(a) or 365(b).) For a c-i-p application, applicant should review whether any claim in the patent that will issue is supported by an earlier application and, if not, the applicant should consider canceling the reference to the earlier filed application. The term of a patent is not based on a claim-by-claim approach. See Notice of April 14, 1995, 60 Fed. Reg. 20,195, at 20,205.

Amendment to claims

purposes.)

☐ Cancel in this application claims



**WARNING:** When the last day of pendency of a provisional application falls on a Saturday, Sunday, or Federal holiday within the District of Columbia, any nonprovisional application claiming benefit of the provisional application must be filed prior to the Saturday, Sunday, or Federal holiday within the District of Columbia. See 37 C.F.R. § 1.78(a)(3). ☐ The new application being transmitted claims the benefit of prior U.S. application(s). Enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED. 3. Papers Enclosed A. Required for filing date under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 (Design) Application 30 Pages of specification 10 Pages of claims 10 Sheets of drawings **WARNING:** DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white, smooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. For comments on proposed then-new 37 C.F.R. § 1.84, see Notice of March 9, 1988 (1990 O.G. 57-62). NOTE: "Identifying indicia, if provided, should include the application number or the title of the invention, inventor's name, docket number (if any), and the name and telephone number of a person to call if the Office is unable to match the drawings to the proper application. This information should be placed on the back of each sheet of drawing a minimum distance of 1.5 cm (5/8 inch) down from the top of the page . . . " 37 C.F.R. § 1.84(c)). (complete the following, if applicable) The enclosed drawing(s) are photograph(s), and there is also attached a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." 37 C.F.R. § 1.84(b). The enclosed drawing(s) are in color. Three (3) sets of color drawings and a "PETITION TO ACCEPT COLOR DRAWING(S)" are attached. 37 C.F.R. §§ 1.84(a)(2) and 1.84(b). formal ☑ informal B. Other Papers Enclosed Pages of declaration and power of attorney Pages of abstract Other (title page) 4. Additional papers enclosed

filing fee. (At least one original independent claim must be retained for filing

☐ Add the claims shown on the attached amendment. (Claims added have been numbered consecutively following the highest numbered original claims.)

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before calculating the



# Att rney Docket No. 814-067.030

		Pre	eliminary Amendment
		Info	ormation Disclosure Statement (37 C.F.R. § 1.98)
		Fo	rm PTO-1449 (PTO/SB/08A and 08B)
		Cit	ations
		De	claration of Biological Deposit
		per	bmission of "Sequence Listing," computer readable copy and/or amendment rtaining thereto for biotechnology invention containing nucleotide and/or amino d sequence
			thorization of Attorney(s) to Accept and Follow Instructions from presentative
		Sp	ecial Comments
		Oth	ner
5.	Dec	lar	ation or oath (including power of attorney)
NOT	the prior nonprovisional application contained a declara by all or fewer than all the inventors named in the pri application being filed, and a copy of the executed dec the signature or an indication thereon that it was accompanied by a statement requesting deletion of the the application being filed. If the declaration in the pri copy of that declaration must be filed accompanied by or, if a nonsigning person under § 1.47 has subsequent		ewly executed declaration is not required in a continuation or divisional application provided that prior nonprovisional application contained a declaration as required, the application being filed is all or fewer than all the inventors named in the prior application, there is no new matter in the lication being filed, and a copy of the executed declaration filed in the prior application (showing signature or an indication thereon that it was signed) is submitted. The copy must be ompanied by a statement requesting deletion of the names of person(s) who are not inventors of application being filed. If the declaration in the prior application was filed under § 1.47, then a y of that declaration must be filed accompanied by a copy of the decision granting § 1.47 status if a nonsigning person under § 1.47 has subsequently joined in a prior application, then a copy of subsequently executed declaration must be filed. See 37 C.F.R. §§ 1.63(d)(1)-(3).
NOTE	Ξ:	dire with addi	eclaration filed to complete an application must be executed, identify the specification to which it is cted, identify each inventor by full name including family name and at least one given name, out abbreviation together with any other given name or initial, and the residence, post office ress and country or citizenship of each inventor, and state whether the inventor is a sole or joint ntor. 37 C.F.R. § 1.63(a)(1)-(4).
NOTE		deci deci the unle	inventorship of a nonprovisional application is that inventorship set forth in the oath or faration as prescribed by § 1.62, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or laration as prescribed by § 1.63 is not filed during the pendency of a nonprovisional application, inventorship is that inventorship set forth in the application papers filed pursuant to § 1.53(b), as a petition under this paragraph accompanied by the fee set forth in § 1.17(I) is filed supplying than the name or names of the inventor or inventors." 37 C.F.R. § 1.41(a)(1).
		X	Enclosed
			Executed by
			(check all applicable boxes)
			inventor(s). legal representative of inventor(s). 37 C.F.R. §§ 1.42 or 1.43. joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
_ 1 (	This C.F.	is R.	the petition required by 37 C.F.R. § 1.47 and the statement required by 37 § 1.47 is also attached. See item 13 below for fee.
<b>–</b> 1	Vot	End	closed

NOTE:	Where the filing is a completion in the U.S. of an International Application or where the completion of the U.S. application contains subject matter in addition to the International Application, the application may be treated as a continuation or continuation-in-part, as the case may be, utilizing ADDED PAGE FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.
	Application is made by a person authorized under 37 C.F.R. § 1.41(c) on behalf of <i>all</i> the above named inventor(s).
(The	declaration or oath, along with the surcharge required by 37 C.F.R. § 1.16(e) can be filed subsequently).
	☐ Showing that the filing is authorized.  (not required unless called into question. 37 C.F.R. § 1.41(d))
6. Inv	ventorship Statement
WARNII	VG: If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.
The inv	ventorship for all the claims in this application is:
	The same.
	ог
0	Not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,
	□ is submitted.
	□ will be submitted
7. La	nguage
NOTE:	An application including a signed oath or declaration may be filed in a language other than English. An English translation of the non-English language application and the processing fee of \$130.00 required by 37 C.F.R. § 1.17(k) is required to be filed with the application, or within such time as may be set by the Office. 37 C.F.R. § 1.52(d).
	<ul><li>区 English</li><li>□ Non English</li></ul>
	☐ The attached translation includes a statement that the translation is accurate. 37 C.F.R. § 1.52(d).
8. As	signment
	<ul> <li>is attached. A separate □ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ⊠ FORM PTO 1595 is also attached.</li> <li>□ will follow.</li> </ul>
NOTE:	"If an assignment is submitted with a new application, send two separate letters-one for the application and one for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).

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WARNII	VG:	A newly e continuation	xecuted "C n-in-part app	ERTIFICATE U	NDER 3 , an assig	7 C.F.R. § 3.7 nee. Notice of A	73(b)" must be filed when a April 30, 1993, 1150 OG 62-64.
							assignment document for
							Reel
							Frame
9. Ce	rtifie	d Copy					
Ce	rtified	l copy(ies	) of applic	cation(s)			
Co	untry			App	oln. No.		Filed
Co	untry			App	oln. No.		Filed
from w	hich p	oriority is	claimed:				
		is (are) a will follow					
	decla This U.S. § 120 PAG APPL	nration. 37 C item is for a application 0 is itself en ES FOR LICATION(S	C.F.R. § 1.55 any foreign por ar Internation titled to prio	i(a) and 1.63. criority for which nal Application fr rity from a prior f PLICATION TR . 1. § 1.16)	the appli rom which oreign ap	cation being file this application plication, then c	ust be referred to in the oath or d directly relates. If any parent a claims benefit under 35 U.S.C. omplete item 18 on the ADDED BENEFIT OF PRIOR U.S.
				CLAIMS	AS FILI	======================================	
Numbe	er filed	j		Number Ext	tra	Rate	Basic Fee 37 C.F.R. § 1.16(a) \$710.00
Total C (37 C.I			<b>50</b> -20 =	30	x	\$18.00 =	540.00
		t Claims 1.16(b))	4 - 3 =	1	×	\$80.00 =	80.00
		endent cl .F.R. § 1.			+	\$260.00	
		Amendm	ent deletii	ling extra clai ng multiple-de s is not being	penden	cies is enclo	sed.
NOTE:	amer	ndment, pric	or to the exp		e period	set for response	aid or the claims canceled by e by the Patent and Trademark
			Filing	Fee Calculat	tion		\$ <u>1,330.00</u>

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	В.		Design application (\$310.00 – 37 C.F.F	R. § 1.16(f))			
			Fili	ng Fee Calculation	\$		
	C.		Plant application				
		(\$4	80.00 - 37 C.F.R. §	1.16(g))			
			Fili	ng Fee Calculation	\$		
11. Sma	all I	Enti	ty Statement(s)				
WARNING: "Status as a small entity must be specifically established in each application or patent in which the status is available and desired. Status as a small entity in one application or patent does not affect any other application or patent, including applications or patents which are directly of indirectly dependent upon the application or patent in which the status has been established. The refiling of an application under § 1.53 as a continuation, division, or continuation-in-patent (including a continued prosecution application under § 1.53(d)), or the filing of a reissue application requires a new determination as to continued entitlement to small entity status for the continuing or reissue application. A nonprovisional application claiming benefit under 35 U.S.C. § 119(e), 120, 121, or 365(c) of a prior application, or a reissue application may rely on statement filed in the prior application or in the patent if the nonprovisional application or the reissue application includes a reference to the statement in the prior application or in the patent or includes a copy of the statement in the prior application or in the patent and status as a small entity is still proper and desired. The payment of the small entity basic statutory filing fee will be treated as such a reference for purposes of this section." 37 C.F.R. § 1.28(a)(2).					ne application or patent does not r patents which are directly or e status has been established division, or continuation-in-part (d)), or the filing of a reissue ent to small entity status for the claiming benefit under 35 U.S.C. is ue application may rely on a on provisional application or the prior application or in the patent the patent and status as a small by basic statutory filing fee will be		
WARNING: "Small entity status must not be established when the person or persons signing the statement can unequivocally make the required self-certification." M.P.E.P., § 509.03, 6 <sup>th</sup> erev. 2, July 1996 (emphasis added).					on or persons signing the on." M.P.E.P., § 509.03, 6 <sup>th</sup> ed.,		
			(com	olete the following, if applicat	ole)		
			Status as a small e	ntity was claimed in prior app	olication		
			benefit is being claim	, filed on med for this application unde	r:, from which		
			_ _	119(e), 120, 121, 365(c), is as a small entity is still pro	per and desired.		
			☑ Applicant is	a Small Entity and has filed	as such in prior		
			applications	<b>5.</b>			
			Filing Fee (	Calculation (50% of A, B, or G	C above)		
				\$665.00	_		
NOTE:	fil	led w		vill be refunded if a small entity stat te of timely payment of a full fee. F.R. § 1.28(a).			
12. Req	jue:	st fo	r International-Type	e Search (37 C.F.R. § 1.104	(d))		
			(co	mplete, if applicable)			
				onal-type search report for the on the merits takes place.	nis application at the time		
				(New Application	Transmittal [4-1] page 7 of 11)		

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13.	Fee	e Pa	yment Being Made at This Time		
		Not	Enclosed		
			No filing fee is to be paid at this time. (This and the surcharge required by 37 C.F.R. § 1.16(e) can subsequently.)	n be paid	
	X	End	closed		
		X	Filing fee	\$	665.00
		X	Recording assignment (\$40.00 – 37 C.F.R. § 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION.")	\$	40.00
			Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached.  (\$130.00 - 37 C.F.R. §§ 1.47 and 1.17(i))	\$	
			For processing an application with a specification in a non-English language (\$130.00; 37 C.F.R. §§ 1.52(d) and 1.17(k))	\$	
			Processing and retention fee (\$130.00, 37 C.F.R. §§ 1.52(d) and 1.21(l))	\$	
			Fee for international-type search report (\$40.00; 37 C.F.R. § 1.21(e))	\$	
NOT	NOTE: 37 C.F.R. § 1.21(I) establishes a fee for processing and retaining any applic for failing to complete the application pursuant to 37 C.F.R. § 1.53(f) and this to 37 C.F.R. §§ 1.53 and 1.78(a)(1), indicate that in order to obtain the application, either the basic filing fee must be paid, or the processing and must be paid, within 1 year from the notification under § 53(f).		is well as the enefit of a	ne changes prior U.S.	
		Tot	al fees enclosed	\$	705.00
14.	Me	thoc	of Payment of Fees		
	X	Atta	ached is a 区 check □ money order in the amount of \$	705.00	
		Aut	horization if hereby made to charge the amount of \$		-
			to Deposit Account No		
			to credit card as shown on the attached credit card infor authorization form PTO-2038	mation	
			arge any additional fees required by this paper or credit any or manner authorized above. A duplicate of this transmittal is a		
NOT	rE:		s should be itemized in such a manner that it is clear for which purpose R. § 1.22(b).	the fees a	re paid. 37

# 15. Authorization to Charge Additional Fees

WARNING: If no fees are to be paid on filing, the following items should not be completed.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

- The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 23-0442
  - □ 37 C.F.R. § 1.16(a), (f), or (g) (filing fees)
  - ☑ 37 C.F.R. § 1.16(b), (c), and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims canceled by amendment prior to the expiration of the time period set for response by the P.T.O. in any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not to authorize the P.T.O. to charge additional claim fees, except possibly when dealing with amendments after final action.

- ☐ 37 C.F.R. § 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☐ 37 C.F.R. § 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a))
- ☐ 37 C.F.R. § 1.17 (application processing fees)

WARNING:

- "...A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of time in any concurrent reply requiring a petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).
- □ 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))
- NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the Notice of Allowance. 37 C.F.R. § 1.311(b).
- NOTE: 37 C.F.R. § 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying, . . . issue fee." From the wording of 37 C.F.R. § 1.28(b), (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.



## Attorney Docket No. 814-067.030

### 16. Instructions as to Ov rpayment

NOTE:	"Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).				
	X	Credit Account No. 23-0442			
		Refund			

Date: June 25, 2001

Reg. No. 31,052

Tel. No. (203) 261-1234

Customer No. 004955

GNATURE OF PRACTITIONER

Jack M. Pasquale

(type or print name of practitioner

Ware, Fressola, Van Der Sluys & Adolphson, LLP

P.O. (Correspondence) Address

Building Five, Bradford Green 755 Main Street, P.O. Box 224

Monroe, CT 06468



	Incorp ration by reference of added pag s					
	(check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.)					
		Plus Added Pages for New Application Transmittal Where Benefit of Prior U.S. Application(s) Claimed  Number of pages added				
		Plus Added Pages for Papers Referred to in Item 4 Above				
		Number of pages added				
		Plus added pages deleting names of inventor(s) named in prior application(s) who is/are no longer inventor(s) of the subject matter claimed in this application.				
		Number of pages added				
		Plus "Assignment Cover Letter Accompanying New Application"				
		Number of pages added				
X	Sta	itement Where No Further Pages Added				
		(if no further pages form a part of this Transmittal, then end this Transmittal with this page and check the following item.				
	X	This transmittal ends with this page.				